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ATTORNEY'S DOCKET NUMBER

ORM PTO-1390 (Modified) REV 5-93) 078883-0137 TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 J.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 09/936,572 PRIORITY DATE CLAIMED INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE 03/17/1999 03/17/2000 PCT/GB00/01002 TITLE OF INVENTION ANTI-VIRAL VECTORS APPLICANT(S) FOR DO/EO/US Mark UDÈN et al. Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.  $\boxtimes$ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. A copy of the International Application as filed (35 U.S.C. 371(c)(2)) is transmitted herewith (required only if not transmitted by the International Bureau). has been transmitted by the International Bureau. is not required, as the application was filed in the United States Receiving Office (RO/US) A translation of the International Application into English (35 U.S.C. 371(c)(2)). Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))  $\Box$ are transmitted herewith (required only if not transmitted by the International Bureau). have been transmitted by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired. have not been made and will not be made. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).  $\boxtimes$ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 10. 🗆 371(c)(5)). Applicant claims small entity status under 37 CFR 1.27. Items 12. to 17. below concern other document(s) or information included: An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. 🔲 A FIRST preliminary amendment. 14. 🗍 A SECOND or SUBSEQUENT preliminary amendment.  $\boxtimes$ 15. 🔲 A substitute specification. 16. 🔲 A change of power of attorney and/or address letter. Other items or information: Statement to Support Filing and Submission, Paper Copy of Sequence Listing, and 17. 🛛 Computer Readable Diskette

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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

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TERNATIONAL APPLICATION NO. ATTORNEY'S DOCKET NUMBER U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.50 PCT/GB00/01002 078883-0137 09/936,572 PTO USE ONLY CALCULATIONS 18. 

☐The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1)-(5): Search Report has been prepared by the EPO or JPO.....\$890.00 International preliminary examination fee paid to USPTO (37 CFR 1.482)..... No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2) .....\$740.00 Neither international preliminary examination fee (37 CFR 1.482) nor International search fee (37 CFR 1.445(a)(2)) paid to USPTO ...... \$1,040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ......\$100.00 \$0.00 ENTER APPROPRIATE BASIC FEE AMOUNT = \$130.00 Surcharge of \$130.00 for furnishing the oath or declaration later than 20 Months from the earliest claimed priority date (37 CFR 1.492(e)) Included in Basic Rate Number Filed Extra Claims Fee Claims \$0.00 \$18.00 Total Claims 20 0 × \$0.00 \$84.00 3 Independent 0 Claims \$280.00 Multiple dependent claim(s) (if applicable) TOTAL OF ABOVE CALCULATIONS \$130.00 \$0.00 Reduction by ½ for filing by small entity, if applicable. \$0.00 SUBTOTAL Processing fee of \$130.00 for furnishing English translation later the 20 months from the earliest claimed priority date (37 CFR 1.492(f). \$130.00 TOTAL NATIONAL FEE Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$130.00 TOTAL FEES ENCLOSED Amount to be: refunded charged A check in the amount of \$130.00 to cover the above fees is enclosed. a. 🔯 Please charge my Deposit Account No. 19-0741 in the amount of \$0.00 to the above fees. A duplicate copy of this sheet is b. 🔲 The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any c. 🔯 overpayment to Deposit Account No. 19-0741. A duplicate copy of this sheet is enclosed. NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. SEND ALL CORRESPONDENCE TO: Foley & Lardner Washington Harbour 3000 K Street, N.W., Suite 500 NAME MICHELE M. SIMKIN Washington, D.C. 20007-5143 REGISTRATION NUMBER 34,717

Foley & Lardner Washington Harbour 3000 K Street NW Suite 500 Washington, DC 20007-5109

CONFIRMATION NO. 8695 371 FORMALITIES LETTER

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Date Mailed: 10/29/2001

# NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Preliminary Amendments

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the
  application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply
  with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason
  (s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).

## APPLICANT MUST PROVIDE:

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).
- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216
  - To Purchase Patentin Software, call (703) 306-2600
  - For Patentin Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

### SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

• \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

#### VONDA M WALLACE

Telephone: (703) 305-3736

### PART 1 - ATTORNEY/APPLICANT COPY

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U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
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